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(ii) *Thermal Efficiency.* Use the calculation procedure for the thermal efficiency test specified in Section 11.1 of the HI BTS–2000, Rev 06.07 (incorporated by reference, *see* § 431.85).

[74 FR 36354, July 22, 2009]

ENERGY EFFICIENCY STANDARDS

§ 431.87 Energy conservation standards and their effective dates.

(a) Each commercial packaged boiler manufactured on or after January 1, 1994, and before March 2, 2012, must meet the following energy efficiency standard levels:

(1) For a gas-fired packaged boiler with a capacity (rated maximum input)

of 300,000 Btu/h or more, the combustion efficiency at the maximum rated capacity must be not less than 80 percent.

(2) For an oil-fired packaged boiler with a capacity (rated maximum input) of 300,000 Btu/h or more, the combustion efficiency at the maximum rated capacity must be not less than 83 percent.

(b) Each commercial packaged boiler listed in Table 1 to § 431.87 and manufactured on or after the effective date listed in Table 1 of this section, must meet the applicable energy conservation standard in Table 1.

TABLE 1 TO § 431.87—COMMERCIAL PACKAGED BOILER ENERGY CONSERVATION STANDARDS

Equipment type	Subcategory	Size category (input)	Efficiency level—Effective date: March 2, 2012 *
Hot Water Commercial Packaged Boilers ...	Gas-fired	≥300,000 Btu/h and ≤2,500,000 Btu/h.	80.0% E _T
Hot Water Commercial Packaged Boilers ...	Gas-fired	>2,500,000 Btu/h	82.0% E _C
Hot Water Commercial Packaged Boilers ...	Oil-fired	≥300,000 Btu/h and ≤2,500,000 Btu/h.	82.0% E _T
Hot Water Commercial Packaged Boilers ...	Oil-fired	>2,500,000 Btu/h	84.0% E _C
Steam Commercial Packaged Boilers	Gas-fired—all, except natural draft	≥300,000 Btu/h and ≤2,500,000 Btu/h.	79.0% E _T
Steam Commercial Packaged Boilers	Gas-fired—all, except natural draft	>2,500,000 Btu/h	79.0% E _T
Steam Commercial Packaged Boilers	Gas-fired—natural draft	≥300,000 Btu/h and ≤2,500,000 Btu/h.	77.0% E _T
Steam Commercial Packaged Boilers	Gas-fired—natural draft	>2,500,000 Btu/h	77.0% E _T
Steam Commercial Packaged Boilers	Oil-fired	≥300,000 Btu/h and ≤2,500,000 Btu/h.	81.0% E _T
Steam Commercial Packaged Boilers	Oil-fired	>2,500,000 Btu/h	81.0% E _T

*Where E_C is combustion efficiency and E_T is thermal efficiency as defined in § 431.82.

(c) Each commercial packaged boiler listed in Table 2 to § 431.87 and manufactured on or after the effective date

listed in Table 2 of this section, must meet the applicable energy conservation standard in Table 2.

TABLE 2 TO § 431.87—COMMERCIAL PACKAGED BOILER ENERGY CONSERVATION STANDARDS

Equipment type	Subcategory	Size category (input)	Efficiency level—Effective date: March 2, 2022 *
Steam Commercial Packaged Boilers ...	Gas-fired—natural draft	≥300,000 Btu/h and ≤2,500,000 Btu/h	79.0% E _T
Steam Commercial Packaged Boilers ...	Gas-fired—natural draft	>2,500,000 Btu/h	79.0% E _T

*Where E_C is combustion efficiency and E_T is thermal efficiency as defined in § 431.82.

[74 FR 36355, July 22, 2009]

Subpart F—Commercial Air Conditioners and Heat Pumps

SOURCE: 69 FR 61969, Oct. 21, 2004, unless otherwise noted.

§ 431.91 Purpose and scope.

This subpart specifies test procedures and energy conservation standards for certain commercial air conditioners and heat pumps, pursuant to Part C of

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Title III of the Energy Policy and Conservation Act, as amended, 42 U.S.C. 6311–6317.

[69 FR 61969, Oct. 21, 2004, as amended at 70 FR 60415, Oct. 18, 2005]

§ 431.92 Definitions concerning commercial air conditioners and heat pumps.

The following definitions apply for purposes of this subpart F, and of subparts J through M of this part. Any words or terms not defined in this section or elsewhere in this part shall be defined as provided in 42 U.S.C. 6311.

Basic model means all units of a given type of covered product (or class thereof) manufactured by one manufacturer, having the same primary energy source, and which have essentially identical electrical, physical, and functional (or hydraulic) characteristics that affect energy consumption, energy efficiency, water consumption, or water efficiency.

Coefficient of Performance, or COP means the ratio of the produced cooling effect of an air conditioner or heat pump (or its produced heating effect, depending on the mode of operation) to its net work input, when both the cooling (or heating) effect and the net work input are expressed in identical units of measurement.

Commercial package air-conditioning and heating equipment means air-cooled, water-cooled, evaporatively-cooled, or water source (not including ground water source) electrically operated, unitary central air conditioners and central air-conditioning heat pumps for commercial application.

Computer Room Air Conditioner means a basic model of commercial package air-conditioning and heating equipment (packaged or split) that is: Used in computer rooms, data processing rooms, or other information technology cooling applications; rated for sensible coefficient of performance (SCOP) and tested in accordance with 10 CFR 431.96, and is not a covered consumer product under 42 U.S.C. 6291(1)–(2) and 6292. A computer room air conditioner may be provided with, or have as available options, an integrated humidifier, temperature, and/or humidity control of the supplied air, and reheating function.

Energy Efficiency Ratio, or EER means the ratio of the produced cooling effect of an air conditioner or heat pump to its net work input, expressed in Btu/watt-hour.

Heat Recovery (in the context of variable refrigerant flow multi-split air conditioners or variable refrigerant flow multi-split heat pumps) means that the air conditioner or heat pump is also capable of providing simultaneous heating and cooling operation, where recovered energy from the indoor units operating in one mode can be transferred to one or more other indoor units operating in the other mode. A variable refrigerant flow multi-split heat recovery heat pump is a variable refrigerant flow multi-split heat pump with the addition of heat recovery capability.

Heating seasonal performance factor, or HSPF means the total heating output of a central air-conditioning heat pump during its normal annual usage period for heating, expressed in Btu's and divided by the total electric power input, expressed in watt-hours, during the same period.

Large commercial package air-conditioning and heating equipment means commercial package air-conditioning and heating equipment that is rated—

- (1) At or above 135,000 Btu per hour; and
- (2) Below 240,000 Btu per hour (cooling capacity).

Non-standard size means a packaged terminal air conditioner or packaged terminal heat pump with existing wall sleeve dimensions having an external wall opening of less than 16 inches high or less than 42 inches wide, and a cross-sectional area less than 670 square inches.

Packaged terminal air conditioner means a wall sleeve and a separate unencased combination of heating and cooling assemblies specified by the builder and intended for mounting through the wall, and that is industrial equipment. It includes a prime source of refrigeration, separable outdoor louvers, forced ventilation, and heating availability by builder's choice of hot water, steam, or electricity.

Packaged terminal heat pump means a packaged terminal air conditioner that utilizes reverse cycle refrigeration as

its prime heat source, that has a supplementary heat source available, with the choice of hot water, steam, or electric resistant heat, and that is industrial equipment.

Seasonal energy efficiency ratio or SEER means the total cooling output of a central air conditioner or central air-conditioning heat pump, expressed in Btu's, during its normal annual usage period for cooling and divided by the total electric power input, expressed in watt-hours, during the same period.

Sensible Coefficient of Performance, or SCOP means the net sensible cooling capacity in watts divided by the total power input in watts (excluding reheaters and humidifiers).

Single package unit means any central air conditioner or central air-conditioning heat pump in which all the major assemblies are enclosed in one cabinet.

Single package vertical air conditioner means air-cooled commercial package air conditioning and heating equipment that—

(1) Is factory-assembled as a single package that—

(i) Has major components that are arranged vertically;

(ii) Is an encased combination of cooling and optional heating components; and

(iii) Is intended for exterior mounting on, adjacent interior to, or through an outside wall;

(2) Is powered by a single-or 3-phase current;

(3) May contain 1 or more separate indoor grilles, outdoor louvers, various ventilation options, indoor free air discharges, ductwork, well plenum, or sleeves; and

(4) Has heating components that may include electrical resistance, steam, hot water, or gas, but may not include reverse cycle refrigeration as a heating means.

Single package vertical heat pump means a single package vertical air conditioner that—

(1) Uses reverse cycle refrigeration as its primary heat source; and

(2) May include secondary supplemental heating by means of electrical resistance, steam, hot water, or gas.

Small commercial package air-conditioning and heating equipment means

commercial package air-conditioning and heating equipment that is rated below 135,000 Btu per hour (cooling capacity).

Split system means any central air conditioner or central air conditioning heat pump in which one or more of the major assemblies are separate from the others.

Standard size means a packaged terminal air conditioner or packaged terminal heat pump with wall sleeve dimensions having an external wall opening of greater than or equal to 16 inches high or greater than or equal to 42 inches wide, and a cross-sectional area greater than or equal to 670 square inches.

Variable Refrigerant Flow Multi-Split Air Conditioner means a unit of commercial package air-conditioning and heating equipment that is configured as a split system air conditioner incorporating a single refrigerant circuit, with one or more outdoor units, at least one variable-speed compressor or an alternate compressor combination for varying the capacity of the system by three or more steps, and multiple indoor fan coil units, each of which is individually metered and individually controlled by an integral control device and common communications network and which can operate independently in response to multiple indoor thermostats. Variable refrigerant flow implies three or more steps of capacity control on common, inter-connecting piping.

Variable Refrigerant Flow Multi-Split Heat Pump means a unit of commercial package air-conditioning and heating equipment that is configured as a split system heat pump that uses reverse cycle refrigeration as its primary heating source and which may include secondary supplemental heating by means of electrical resistance, steam, hot water, or gas. The equipment incorporates a single refrigerant circuit, with one or more outdoor units, at least one variable-speed compressor or an alternate compressor combination for varying the capacity of the system by three or more steps, and multiple indoor fan coil units, each of which is individually metered and individually controlled by a control device and common communications network and

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which can operate independently in response to multiple indoor thermostats. Variable refrigerant flow implies three or more steps of capacity control on common, inter-connecting piping.

Very large commercial package air-conditioning and heating equipment means commercial package air-conditioning and heating equipment that is rated—

(1) At or above 240,000 Btu per hour; and

(2) Below 760,000 Btu per hour (cooling capacity).

[69 FR 61969, Oct. 21, 2004, as amended at 70 FR 60415, Oct. 18, 2005; 73 FR 58828, Oct. 7, 2008; 74 FR 12073, Mar. 23, 2009; 76 FR 12503, Mar. 7, 2011; 77 FR 28988, May 16, 2012]

TEST PROCEDURES

§ 431.95 Materials incorporated by reference.

(a) *General.* DOE incorporates by reference the following test procedures into subpart F of part 431. The materials listed have been approved for incorporation by reference by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. Any subsequent amendment to the listed materials by the standard-setting organization will not affect the DOE regulations unless and until such regulations are amended by DOE. Materials are incorporated as they exist on the date of the approval, and a notice of any changes in the materials will be published in the FEDERAL REGISTER. All approved materials are available for inspection at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call (202) 741-6030, or go to: http://www.archives.gov/federal_register/code_of_federalregulations/ibr_locations.html. Also, this material is available for inspection at U.S. Department of Energy, Office of Energy Efficiency and Renewable Energy, Building Technologies Program, 6th Floor, 950 L'Enfant Plaza SW., Washington, DC 20024, (202) 586-2945, or go to: http://www1.eere.energy.gov/buildings/appliance_standards/. The referenced test procedure standards are listed below by relevant standard-setting organization, along with information on

how to obtain copies from those sources.

(b) *AHRI.* Air-Conditioning, Heating, and Refrigeration Institute, 2111 Wilson Blvd., Suite 500, Arlington, VA 22201, (703) 524-8800, or go to: <http://www.ahrinet.org>.

(1) ARI Standard 210/240-2003, “2003 Standard for *Unitary Air-Conditioning & Air-Source Heat Pump Equipment*,” published in 2003 (AHRI 210/240-2003), IBR approved for § 431.96.

(2) ANSI/AHRI Standard 210/240-2008, “2008 Standard for *Performance Rating of Unitary Air-Conditioning & Air-Source Heat Pump Equipment*,” approved by ANSI on October 27, 2011 and updated by addendum 1 in June 2011 and addendum 2 in March 2012 (AHRI 210/240-2008), IBR approved for § 431.96.

(3) ARI Standard 310/380-2004, “*Standard for Packaged Terminal Air-Conditioners and Heat Pumps*,” published September 2004 (AHRI 310/380-2004), IBR approved for § 431.96.

(4) ARI Standard 340/360-2004, “2004 Standard for *Performance Rating of Commercial and Industrial Unitary Air-Conditioning and Heat Pump Equipment*,” published in 2004 (AHRI 340/360-2004), IBR approved for § 431.96.

(5) ANSI/AHRI Standard 340/360-2007, “2007 Standard for *Performance Rating of Commercial and Industrial Unitary Air-Conditioning and Heat Pump Equipment*,” approved by ANSI on October 27, 2011 and updated by addendum 1 in December 2010 and addendum 2 in June 2011 (AHRI 340/360-2007), IBR approved for § 431.96.

(6) ANSI/AHRI Standard 390-2003, “2003 Standard for *Performance Rating of Single Package Vertical Air-Conditioners and Heat Pumps*,” dated 2003, (AHRI 390-2003), IBR approved for § 431.96.

(7) ANSI/AHRI Standard 1230-2010, “2010 Standard for *Performance Rating of Variable Refrigerant Flow (VRF) Multi-Split Air-Conditioning and Heat Pump Equipment*,” approved August 2, 2010 and updated by addendum 1 in March 2011 (AHRI 1230-2010), IBR approved for § 431.96.

(8) [Reserved].

(c) *ASHRAE.* American Society of Heating, Refrigerating and Air-Conditioning Engineers, 1791 Tullie Circle,

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NE., Atlanta, Georgia 30329, (404) 636–8400, or go to: <http://www.ashrae.org>.

(1) ASHRAE Standard 127–2007, “*Method of Testing for Rating Computer and Data Processing Room Unitary Air Conditioners*,” approved on June 28, 2007, (ASHRAE 127–2007), IBR approved for § 431.96.

(2) [Reserved].

(d) ISO. International Organization for Standardization, 1, ch. De la Voie-Creuse, Case Postale 56, CH–1211 Geneva 20, Switzerland, +41 22 749 01 11 or go to: <http://www.iso.ch/>.

(1) ISO Standard 13256–1, “*Water-source heat pumps—Testing and rating for performance—Part 1: Water-to-air and brine-to-air heat pumps*,” approved 1998, IBR approved for § 431.96.

(2) [Reserved].

[77 FR 28989, May 16, 2012]

§ 431.96 Uniform test method for the measurement of energy efficiency of commercial air conditioners and heat pumps.

(a) *Scope*. This section contains test procedures for measuring, pursuant to

EPCA, the energy efficiency of any small, large, or very large commercial package air-conditioning and heating equipment, packaged terminal air conditioners and packaged terminal heat pumps, computer room air conditioners, variable refrigerant flow systems, and single package vertical air conditioners and single package vertical heat pumps.

(b) *Testing and calculations*. (1) Determine the energy efficiency of each covered product by conducting the test procedure(s) listed in the rightmost column of Table 1 of this section, that apply to the energy efficiency descriptor for that product, category, and cooling capacity, until compliance with this test procedure version is no longer required per the date shown in the 5th most column from the left of Table 1 of this section.

TABLE 1 TO § 431.96—TEST PROCEDURES FOR COMMERCIAL AIR CONDITIONERS AND HEAT PUMPS

Equipment type	Category	Cooling capacity	Energy efficiency descriptor	Test procedure required for compliance until	Use tests, conditions, and procedures ¹ in
Small Commercial Packaged Air-Conditioning and Heating Equipment.	Air-Cooled, 3-Phase, AC and HP.	<65,000 Btu/h ≥65,000 Btu/h and <135,000 Btu/h.	SEER and HSPF EER and COP	May 13, 2013 ... May 13, 2013 ...	ARI 210/240–2003. ARI 340/360–2004.
	Air-Cooled AC and HP.				
	Water-Cooled and Evaporatively-Cooled AC.	<65,000 Btu/h ≥65,000 Btu/h and <135,000 Btu/h.	EER EER	May 13, 2013 ... May 13, 2013 ...	ARI 210/240–2003. ARI 340/360–2004.
	Water-Source HP ..	<135,000 Btu/h ...	EER and COP	May 13, 2013 ...	ISO Standard 13256–1 (1998).
Large Commercial Packaged Air-Conditioning and Heating Equipment.	Air-Cooled AC and HP.	≥135,000 Btu/h and <240,000 Btu/h.	EER and COP EER	May 13, 2013 ... May 13, 2013 ...	ARI 340/360–2004. ARI 340/360–2004.
	Water-Cooled and Evaporatively-Cooled AC.	≥135,000 Btu/h and <240,000 Btu/h.			
Very Large Commercial Packaged Air-Conditioning and Heating Equipment.	Air-Cooled AC and HP.	≥240,000 Btu/h and <760,000 Btu/h.	EER and COP EER	May 13, 2013 ... May 13, 2013 ...	ARI 340/360–2004. ARI 340/360–2004.
	Water-Cooled and Evaporatively-Cooled AC.	≥240,000 Btu/h and <760,000 Btu/h.			
Packaged Terminal Air Conditioners and Heat Pumps.	AC and HP	<760,000 Btu/h ...	EER and COP	May 13, 2013 ...	AHRI 310/380–2004.

¹ Incorporated by reference, see § 431.95.

(2) On or after the compliance dates listed in Table 2 of this section, determine the energy efficiency of each type

of covered equipment by conducting the test procedure(s) listed in the rightmost column of Table 2 of this

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section along with any additional testing provisions set forth in paragraphs (c), (d), and (e) of this section, that apply to the energy efficiency descriptor for that equipment, category,

and cooling capacity. Note, the omitted sections of the test procedures listed in the rightmost column of Table 1 of this section shall not be used.

TABLE 2 TO § 431.96—TEST PROCEDURES FOR COMMERCIAL AIR CONDITIONERS AND HEAT PUMPS

Equipment type	Category	Cooling capacity	Energy efficiency descriptor	Compliance with test procedure required on or after	Use tests, conditions, and procedures ¹ in
Small Commercial Packaged Air-Conditioning and Heating Equipment.	Air-Cooled, 3-Phase, AC and HP.	<65,000 Btu/h ≥65,000 Btu/h and <135,000 Btu/h.	SEER and HSPF EER and COP	May 13, 2013 ... May 13, 2013 ...	AHRI 210/240–2008 (omit section 6.5). AHRI 340/360–2007 (omit section 6.3).
	Water-Cooled and Evaporatively-Cooled AC.	<65,000 Btu/h ≥65,000 Btu/h and <135,000 Btu/h.	EER EER	May 13, 2013 ... May 13, 2013 ...	AHRI 210/240–2008 (omit section 6.5). AHRI 340/360–2007 (omit section 6.3).
	Water-Source HP	<135,000 Btu/h	EER and COP	May 13, 2013 ...	ISO Standard 13256–1 (1998).
Large Commercial Packaged Air-Conditioning and Heating Equipment.	Air-Cooled AC and HP.	≥135,000 Btu/h and <240,000 Btu/h.	EER and COP	May 13, 2013 ...	AHRI 340/360–2007 (omit section 6.3).
	Water-Cooled and Evaporatively-Cooled AC.	≥135,000 Btu/h and <240,000 Btu/h.	EER	May 13, 2013 ...	AHRI 340/360–2007 (omit section 6.3).
Very Large Commercial Packaged Air-Conditioning and Heating Equipment.	Air-Cooled AC and HP.	≥240,000 Btu/h and <760,000 Btu/h.	EER and COP	May 13, 2013 ...	AHRI 340/360–2007 (omit section 6.3).
	Water-Cooled and Evaporatively-Cooled AC.	≥240,000 Btu/h and <760,000 Btu/h.	EER	May 13, 2013 ...	AHRI 340/360–2007 (omit section 6.3).
Packaged Terminal Air Conditioners and Heat Pumps. Computer Room Air Conditioners.	AC and HP	<760,000 Btu/h	EER and COP	May 13, 2013 ...	AHRI 310/380–2004 (omit section 5.6).
	AC	<65,000 Btu/h <65,000 Btu/h and <760,000 Btu/h.	SCOP SCOP	October 29, 2012. May 13, 2013 ...	ASHRAE 127–2007 (omit section 5.11). ASHRAE 127–2007 (omit section 5.11).
Variable Refrigerant Flow Multi-split Systems.	AC	<760,000 Btu/h	EER and COP	May 13, 2013 ...	AHRI 1230–2010 (omit sections 5.1.2 and 6.6).
Variable Refrigerant Flow Multi-split Systems, Air-cooled.	HP	<760,000 Btu/h	EER and COP	May 13, 2013 ...	AHRI 1230–2010 (omit sections 5.1.2 and 6.6).
Variable Refrigerant Flow Multi-split Systems, Water-source.	HP	<17,000 Btu/h	EER and COP	October 29, 2012.	AHRI 1230–2010 (omit sections 5.1.2 and 6.6).
Variable Refrigerant Flow Multi-split Systems, Water-source.	HP	≥17,000 Btu/h and <760,000 Btu/h.	EER and COP	May 13, 2013 ...	AHRI 1230–2010 (omit sections 5.1.2 and 6.6).
Single Package Vertical Air Conditioners and Single Package Vertical Heat Pumps.	AC and HP	<760,000 Btu/h	EER and COP	July 16, 2012	AHRI 390–2003 (omit section 6.4).

¹ Incorporated by reference, see § 431.95.

(c) *Optional break-in period for tests conducted using AHRI 210/240–2008, AHRI 340/360–2007, AHRI 390–2003, AHRI 1230–*

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2010, and ASHRAE 127–2007. Manufacturers may optionally specify a “break-in” period, not to exceed 20 hours, to operate the equipment under test prior to conducting the test method specified by AHRI 210/240–2008, AHRI 340/360–2007, AHRI 390–2003, AHRI 1230–2010, or ASHRAE 127–2007 (incorporated by reference, see § 431.95). A manufacturer who elects to use an optional compressor break-in period in its certification testing should record this information (including the duration) in the test data underlying the certified ratings that is required to be maintained under 10 CFR 429.71.

(d) *Refrigerant line length corrections for tests conducted using AHRI 1230–2010.* For test setups where it is physically impossible for the laboratory to use the required line length listed in Table 3 of the AHRI 1230–2010 (incorporated by reference, see § 431.95), then the actual refrigerant line length used by the laboratory may exceed the required length and the following correction factors are applied:

Piping length beyond minimum, X (ft)	Piping length beyond minimum, Y (m)	Cooling capacity correction %
0 > X ≤ 20	0 > Y ≤ 6.1	1
20 > X ≤ 40	6.1 > Y ≤ 12.2	2
40 > X ≤ 60	12.2 > Y ≤ 18.3	3
60 > X ≤ 80	18.3 > Y ≤ 24.4	4
80 > X ≤ 100	24.4 > Y ≤ 30.5	5
100 > X ≤ 120	30.5 > Y ≤ 36.6	6

(e) *Additional provisions for equipment set-up.* The only additional specifications that may be used in setting up the basic model for test are those set forth in the installation and operation manual shipped with the unit. Each unit should be set up for test in accordance with the manufacturer installation and operation manuals. Paragraphs (e)(1) through (3) of this section provide specifications for addressing key information typically found in the installation and operation manuals.

(1) If a manufacturer specifies a range of superheat, sub-cooling, and/or refrigerant pressure in its installation and operation manual for a given basic model, any value(s) within that range may be used to determine refrigerant charge or mass of refrigerant, unless the manufacturer clearly specifies a rating value in its installation and op-

eration manual, in which case the specified rating value shall be used.

(2) The air flow rate used for testing must be that set forth in the installation and operation manuals being shipped to the commercial customer with the basic model and clearly identified as that used to generate the DOE performance ratings. If a rated air flow value for testing is not clearly identified, a value of 400 standard cubic feet per minute (scfm) per ton shall be used.

(3) For VRF systems, the test set-up and the fixed compressor speeds (*i.e.*, the maximum, minimum, and any intermediate speeds used for testing) should be recorded and maintained as part of the test data underlying the certified ratings that is required to be maintained under 10 CFR 429.71.

(f) *Manufacturer involvement in assessment or enforcement testing for variable refrigerant flow systems.* A manufacturer’s representative will be allowed to witness assessment and/or enforcement testing for VRF systems. The manufacturer’s representative will be allowed to inspect and discuss set-up only with a DOE representative and adjust only the modulating components during testing in the presence of a DOE representative that are necessary to achieve steady-state operation. Only previously documented specifications for set-up as specified under paragraphs (d) and (e) of this section will be used.

[77 FR 28989, May 16, 2012]

ENERGY EFFICIENCY STANDARDS

§ 431.97 Energy efficiency standards and their compliance dates.

(a) All basic models of commercial package air-conditioning and heating equipment must be tested for performance using the applicable DOE test procedure in § 431.96, be compliant with the applicable standards set forth in paragraphs (b) through (f) of this section, and be certified to the Department under 10 CFR part 429.

(b) Each commercial air conditioner or heat pump (not including single package vertical air conditioners and single package vertical heat pumps, packaged terminal air conditioners and

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packaged terminal heat pumps, computer room air conditioners, and variable refrigerant flow systems) manufactured on and after the compliance date listed in the corresponding table

must meet the applicable minimum energy efficiency standard level(s) set forth in Tables 1, 2, and 3 of this section.

TABLE 1 TO § 431.97—MINIMUM COOLING EFFICIENCY STANDARDS FOR AIR-CONDITIONING AND HEATING EQUIPMENT

[Not including single package vertical air conditioners and single package vertical heat pumps, packaged terminal air conditioners and packaged terminal heat pumps, computer room air conditioners, and variable refrigerant flow multi-split air conditioners and heat pumps]

Equipment type	Cooling capacity	Sub-category	Heating type	Efficiency level	Compliance date: products manufactured on and after . . .
Small Commercial Packaged Air-Conditioning and Heating Equipment (Air-Cooled, 3 Phase)	<65,000 Btu/h	AC HP	All All	SEER = 13 SEER = 13	June 16, 2008. June 16, 2008.
Small Commercial Packaged Air-Conditioning and Heating Equipment (Air-Cooled)	≥65,000 Btu/h and <135,000 Btu/h.	AC HP	No Heating or Electric Resistance Heating. All Other Types of Heating.	EER = 11.2 EER = 11.0	January 1, 2010. January 1, 2010.
Large Commercial Packaged Air-Conditioning and Heating Equipment (Air-Cooled)	≥135,000 Btu/h and <240,000 Btu/h.	AC	No Heating or Electric Resistance Heating. All Other Types of Heating.	EER = 11.0 EER = 10.8	January 1, 2010. January 1, 2010.
Heating Equipment (Air-Cooled).	>240,000 Btu/h	HP	No Heating or Electric Resistance heating. All Other Types of Heating.	EER = 10.6 EER = 10.4	January 1, 2010. January 1, 2010.
Very Large Commercial Packaged Air-Conditioning and Heating Equipment (Air-Cooled)	≥240,000 Btu/h and <760,000 Btu/h.	AC HP	No Heating or Electric Resistance Heating. All Other Types of Heating.	EER = 10.0 EER = 9.8	January 1, 2010. January 1, 2010.
Small Commercial Packaged Air-Conditioning and Heating Equipment (Water-Cooled, Evaporatively-Cooled, and Water-Source).	<17,000 Btu/h ≥17,000 Btu/h and <65,000 Btu/h.	AC HP AC HP	All All All All	EER = 12.1 EER = 11.2 EER = 12.1 EER = 12.0	October 29, 2003. October 29, 2003. October 29, 2003. October 29, 2003.
	≥65,000 Btu/h and <135,000 Btu/h.	AC	No Heating or Electric Resistance Heating. All Other Types of Heating.	EER = 11.5 EER = 11.3	October 29, 2003. ¹ October 29, 2003. ¹
Large Commercial Packaged Air-Conditioning and Heating Equipment (Water-Cooled, Evaporatively-Cooled, and Water-Source).	≥135,000 Btu/h and <240,000 Btu/h	HP AC HP	All All All	EER = 12.0 EER = 11.0 EER = 11.0	October 29, 2003. ¹ October 29, 2004. ² October 29, 2004. ²
Very Large Commercial Packaged Air-Conditioning and Heating Equipment (Water-Cooled, Evaporatively-Cooled, and Water-Source).	≥240,000 Btu/h and <760,000 Btu/h.	AC HP	No Heating or Electric Resistance Heating. All Other Types of Heating.	EER = 11.0 EER = 10.8	January 10, 2011. ² January 10, 2011. ²
		HP	No Heating or Electric Resistance Heating. All Other Types of Heating.	EER = 11.0 EER = 10.8	January 10, 2011. ² January 10, 2011. ²

¹ And manufactured before June 1, 2013. See Table 3 of this section for updated efficiency standards.

² And manufactured before June 1, 2014. See Table 3 of this section for updated efficiency standards.

TABLE 2 TO § 431.97—MINIMUM HEATING EFFICIENCY STANDARDS FOR AIR-CONDITIONING AND HEATING EQUIPMENT
[Heat pumps]

Equipment type	Cooling capacity	Efficiency level	Compliance date: Products manufactured on and after . . .
Small Commercial Packaged Air-Conditioning and Heating Equipment (Air-Cooled, 3 Phase).	<65,000 Btu/h	HSPF = 7.7	June 16, 2008.
Small Commercial Packaged Air-Conditioning and Heating Equipment (Air-Cooled).	≥65,000 Btu/h and	COP = 3.3 ..	January 1, 2010.
Large Commercial Packaged Air-Conditioning and Heating Equipment (Air-Cooled).	<135,000 Btu/h	COP = 3.2 ..	January 1, 2010.
Very Large Commercial Packaged Air-Conditioning and Heating Equipment (Air-Cooled).	≥135,000 Btu/h and	COP = 3.2 ..	January 1, 2010.
Small Commercial Packaged Air-Conditioning and Heating Equipment (Water-Source).	<240,000 Btu/h	COP = 4.2 ..	October 29, 2003.
	≥240,000 Btu/h and		
	<760,000 Btu/h		

TABLE 3 TO § 431.97—UPDATES TO THE MINIMUM COOLING EFFICIENCY STANDARDS FOR WATER-COOLED AND EVAPORATIVELY-COOLED AIR-CONDITIONING AND HEATING EQUIPMENT

Equipment type	Cooling capacity	Heating type	Efficiency level	Compliance date: Products manufactured on and after . . .
Small Commercial Packaged Air-Conditioning and Heating Equipment (Water-Cooled).	≥65,000 Btu/h and <135,000 Btu/h.	No Heating or Electric Resistance Heating.	EER = 12.1	June 1, 2013.
Large Commercial Packaged Air-Conditioning and Heating Equipment (Water-Cooled).	≥135,000 Btu/h and <240,000 Btu/h.	All Other Types of Heating	EER = 11.9	June 1, 2013.
Very Large Commercial Packaged Air-Conditioning and Heating Equipment (Water-Cooled).	≥240,000 Btu/h and <760,000 Btu/h.	No Heating or Electric Resistance Heating.	EER = 12.5	June 1, 2014.
Small Commercial Packaged Air-Conditioning and Heating Equipment (Evaporatively-Cooled).	≥65,000 Btu/h and <135,000 Btu/h.	All Other Types of Heating	EER = 12.3	June 1, 2014.
Large Commercial Packaged Air-Conditioning and Heating Equipment (Evaporatively-Cooled).	≥135,000 Btu/h and <240,000 Btu/h.	No Heating or Electric Resistance Heating.	EER = 12.4	June 1, 2014.
Very Large Commercial Packaged Air-Conditioning and Heating Equipment (Evaporatively-Cooled).	≥240,000 Btu/h and <760,000 Btu/h.	All Other Types of Heating	EER = 12.2	June 1, 2014.
		No Heating or Electric Resistance Heating.	EER = 12.1	June 1, 2013.
		All Other Types of Heating	EER = 11.9	June 1, 2013.
		No Heating or Electric Resistance Heating.	EER = 12.0	June 1, 2014.
		All Other Types of Heating	EER = 11.8	June 1, 2014.
		No Heating or Electric Resistance Heating.	EER = 11.9	June 1, 2014.
		All Other Types of Heating	EER = 11.7	June 1, 2014.

(c) Each packaged terminal air conditioner (PTAC) and packaged terminal heat pump (PTHP) manufactured on or after January 1, 1994, and before October 8, 2012 (for standard size PTACs and PTHPs) and before October 7, 2010 (for non-standard size PTACs and PTHPs) must meet the applicable minimum energy efficiency standard level(s) set

forth in Table 4 of this section. Each PTAC and PTHP manufactured on or after October 8, 2012 (for standard size PTACs and PTHPs) and on or after October 7, 2010 (for non-standard size PTACs and PTHPs) must meet the applicable minimum energy efficiency standard level(s) set forth in Table 5 of this section.

TABLE 4 TO § 431.97—MINIMUM EFFICIENCY STANDARDS FOR PTAC AND PTHP

Equipment type	Cooling capacity	Efficiency level	Compliance date: products manufactured on and after . . .
PTAC	<7,000 Btu/h	EER = 8.88	January 1, 1994.
	≥7,000 Btu/h and <15,000 Btu/h.	EER = 10.0—(0.16 × Cap ¹)	January 1, 1994.
PTHP	≥15,000 Btu/h	EER = 7.6	January 1, 1994.
	<7,000 Btu/h	EER = 8.88	January 1, 1994.
		COP = 2.72	

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TABLE 4 TO § 431.97—MINIMUM EFFICIENCY STANDARDS FOR PTAC AND PTHP—Continued

Equipment type	Cooling capacity	Efficiency level	Compliance date: products manufactured on and after . . .
	≥7,000 Btu/h and <15,000 Btu/h.	EER = 10.0—(0.16 × Cap ¹) COP = 1.3 + (0.16 × EER ²)	January 1, 1994.
	≥15,000 Btu/h	EER = 7.6 COP = 2.52	January 1, 1994.

¹ “Cap” means cooling capacity in thousand Btu/h at 95 °F outdoor dry-bulb temperature.

² The applicable minimum cooling EER prescribed in this table.

TABLE 5 TO § 431.97—UPDATED MINIMUM EFFICIENCY STANDARDS FOR PTAC AND PTHP

Equipment type	Cooling capacity	Sub-category	Efficiency level	Compliance date: Products manufactured on and after . . .
PTAC	Standard Size	<7,000 Btu/h	EER = 11.7	October 8, 2012.
		≥7,000 Btu/h and ≤15,000 Btu/h.	EER = 13.8 — (0.3 × Cap ¹)	October 8, 2012.
	Non-Standard Size	>15,000 Btu/h	EER = 9.3	October 8, 2012.
		<7,000 Btu/h	EER = 9.4	October 7, 2010.
		≥7,000 Btu/h and ≤15,000 Btu/h.	EER = 10.9 — (0.213 × Cap ¹).	October 7, 2010.
		>15,000 Btu/h	EER = 7.7	October 7, 2010.
PTHP	Standard Size	<7,000 Btu/h	EER = 11.9 COP = 3.3	October 8, 2012.
		≥7,000 Btu/h and ≤15,000 Btu/h.	EER = 14.0 — (0.3 × Cap ¹) COP = 3.7 — (0.052 × Cap ¹).	October 8, 2012.
	Non-Standard Size	>15,000 Btu/h	EER = 9.5 COP = 2.9	October 8, 2012.
		<7,000 Btu/h	EER = 9.3 COP = 2.7	October 7, 2010.
		≥7,000 Btu/h and ≤15,000 Btu/h.	EER = 10.8 — (0.213 × Cap ¹).	October 7, 2010.
		>15,000 Btu/h	COP = 2.9 — (0.026 × Cap ¹).	October 7, 2010.
			EER = 7.6	
			COP = 2.5	

¹ “Cap” means cooling capacity in thousand Btu/h at 95 °F outdoor dry-bulb temperature.

(d) Each single package vertical air conditioner and heat pump manufactured on or after January 1, 2010, must meet the applicable minimum energy efficiency standard level(s) set forth in this section.

TABLE 6 TO § 431.97 MINIMUM EFFICIENCY STANDARDS FOR SINGLE PACKAGE VERTICAL AIR CONDITIONERS AND SINGLE PACKAGE VERTICAL HEAT PUMPS

Equipment type	Cooling capacity	Sub-category	Efficiency level	Compliance date: Products manufactured on and after . . .
Single package vertical air conditioners and single package vertical heat pumps, single-phase and three-phase.	<65,000 Btu/h	AC HP	EER = 9.0 EER = 9.0 COP = 3.0	January 1, 2010. January 1, 2010.
Single package vertical air conditioners and single package vertical heat pumps.	≥65,000 Btu/h and <135,000 Btu/h.	AC HP	EER = 8.9 EER = 8.9 COP = 3.0	January 1, 2010. January 1, 2010.
Single package vertical air conditioners and single package vertical heat pumps.	≥135,000 Btu/h and <240,000 Btu/h.	AC HP	EER = 8.6 EER = 8.6 COP = 2.9	January 1, 2010. January 1, 2010.

(e) Each computer room air conditioner with a net sensible cooling capacity less than 65,000 Btu/h manufactured on or after October 29, 2012, and

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each computer room air conditioner with a net sensible cooling capacity greater than or equal to 65,000 Btu/h manufactured on or after October 29, 2013, must meet the applicable minimum energy efficiency standard level(s) set forth in this section.

TABLE 7 TO § 431.97—MINIMUM EFFICIENCY STANDARDS FOR COMPUTER ROOM AIR CONDITIONERS

Equipment type	Net sensible cooling capacity	Minimum SCOP efficiency		Compliance date: Products manufactured on and after . . .
		Downflow unit	Upflow unit	
Computer Room Air Conditioners, Air-Cooled.	<65,000 Btu/h	2.20	2.09	October 29, 2012.
	≥65,000 Btu/h and <240,000 Btu/h.	2.10	1.99	October 29, 2013.
	≥240,000 Btu/h and <760,000 Btu/h.	1.90	1.79	October 29, 2013.
Computer Room Air Conditioners, Water-Cooled.	<65,000 Btu/h	2.60	2.49	October 29, 2012.
	≥65,000 Btu/h and <240,000 Btu/h.	2.50	2.39	October 29, 2013.
	≥240,000 Btu/h and <760,000 Btu/h.	2.40	2.29	October 29, 2013.
Computer Room Air Conditioners, Water-Cooled with a Fluid Economizer.	<65,000 Btu/h	2.55	2.44	October 29, 2012.
	≥65,000 Btu/h and <240,000 Btu/h.	2.45	2.34	October 29, 2013.
	≥240,000 Btu/h and <760,000 Btu/h.	2.35	2.24	October 29, 2013.
Computer Room Air Conditioners, Glycol-Cooled.	<65,000 Btu/h	2.50	2.39	October 29, 2012.
	≥65,000 Btu/h and <240,000 Btu/h.	2.15	2.04	October 29, 2013.
	≥240,000 Btu/h and <760,000 Btu/h.	2.10	1.99	October 29, 2013.
Computer Room Air Conditioner, Glycol-Cooled with a Fluid Economizer.	<65,000 Btu/h	2.45	2.34	October 29, 2012.
	≥65,000 Btu/h and <240,000 Btu/h.	2.10	1.99	October 29, 2013.
	≥240,000 Btu/h and <760,000 Btu/h.	2.05	1.94	October 29, 2013.

(f) Each variable refrigerant flow air conditioner or heat pump manufactured on or after the compliance date listed in this table must meet the applicable minimum energy efficiency standard level(s) set forth in this section.

TABLE 8 TO § 431.97—MINIMUM EFFICIENCY STANDARDS FOR VARIABLE REFRIGERANT FLOW MULTI-SPLIT AIR CONDITIONERS AND HEAT PUMPS

Equipment type	Cooling capacity	Heating type ¹	Efficiency level	Compliance date: Products manufactured on and after . . .
VRF Multi-Split Air Conditioners (Air-Cooled).	<65,000 Btu/h	All	13.0 SEER	June 16, 2008.
	≥65,000 Btu/h and <135,000 Btu/h.	No Heating or Electric Resistance Heating.	11.2 EER	January 1, 2010.
		All Other Types of Heating.	11.0 EER	January 1, 2010.
	≥135,000 Btu/h and <240,000 Btu/h.	No Heating or Electric Resistance Heating.	11.0 EER	January 1, 2010.
		All Other Types of Heating.	10.8 EER	January 1, 2010.
	≥240,000 Btu/h and <760,000 Btu/h.	No Heating or Electric Resistance Heating.	10.0 EER	January 1, 2010.
VRF Multi-Split Heat Pumps (Air-Cooled)		All Other Types of Heating.	9.8 EER	January 1, 2010.
	<65,000 Btu/h	All	13.0 SEER	June 16, 2008.
	≥65,000 Btu/h and <135,000 Btu/h.	No Heating or Electric Resistance Heating.	7.7 HSPF	
			11.0 EER	January 1, 2010.
			3.3 COP	

TABLE 8 TO § 431.97—MINIMUM EFFICIENCY STANDARDS FOR VARIABLE REFRIGERANT FLOW MULTI-SPLIT AIR CONDITIONERS AND HEAT PUMPS—Continued

Equipment type	Cooling capacity	Heating type ¹	Efficiency level	Compliance date: Products manufactured on and after . . .
VRF Multi-Split Heat Pumps (Water-Source)* * *	≥135,000 Btu/h and <240,000 Btu/h.	All Other Types of Heating.	10.8 EER	January 1, 2010.
		No Heating or Electric Resistance Heating.	3.3 COP 10.6 EER	January 1, 2010.
	≥240,000 Btu/h and <760,000 Btu/h.	All Other Types of Heating.	10.4 EER	January 1, 2010.
		No Heating or Electric Resistance Heating.	3.2 COP 9.5 EER	January 1, 2010.
	<17,000 Btu/h	All Other Types of Heating.	9.3 EER	January 1, 2010.
		Without heat recovery.	3.2 COP 12.0 EER	October 29, 2012.
	≥17,000 Btu/h and <65,000 Btu/h.	With heat recovery ..	4.2 COP	October 29, 2003.
		All	11.8 EER	October 29, 2012.
	≥65,000 Btu/h and <135,000 Btu/h.	Without heat recovery.	4.2 COP	October 29, 2003.
		All	12.0 EER	October 29, 2003.
	≥135,000 Btu/h and <760,000 Btu/h.	Without heat recovery.	12.0 EER	October 29, 2003.
		With heat recovery ..	4.2 COP 10.0 EER	October 29, 2013.

¹ VRF Multi-Split Heat Pumps (Air-Cooled) with heat recovery fall under the category of "All Other Types of Heating" unless they also have electric resistance heating, in which case it falls under the category for "No Heating or Electric Resistance Heating."

[77 FR 28991, May 16, 2012, as amended at 77 FR 76830, Dec. 31, 2012]

Subpart G—Commercial Water Heaters, Hot Water Supply Boilers and Unfired Hot Water Storage Tanks

SOURCE: 69 FR 61983, Oct. 21, 2004, unless otherwise noted.

§ 431.101 Purpose and scope.

This subpart contains energy conservation requirements for certain commercial water heaters, hot water supply boilers and unfired hot water storage tanks, pursuant to Part C of Title III of the Energy Policy and Conservation Act, as amended, 42 U.S.C. 6311–6317.

[69 FR 61983, Oct. 21, 2004, as amended at 70 FR 60415, Oct. 18, 2005]

§ 431.102 Definitions concerning commercial water heaters, hot water supply boilers, and unfired hot water storage tanks.

The following definitions apply for purposes of this subpart G, and of subparts J through M of this part. Any

words or terms not defined in this section or elsewhere in this part shall be defined as provided in section 340 of the Act, 42 U.S.C. 6311.

ASTM-D-2156-80 means the test standard published in 1980 by the American Society of Testing and Measurements and titled Method for Smoke Density in Flue Gases from Burning Distillate Fuels.

Basic model means all units of a given type of covered product (or class thereof) manufactured by one manufacturer, having the same primary energy source, and which have essentially identical electrical, physical, and functional (or hydraulic) characteristics that affect energy consumption, energy efficiency, water consumption, or water efficiency.

Hot water supply boiler means a packaged boiler that is industrial equipment and that,

(1) Has an input rating from 300,000 Btu/hr to 12,500,000 Btu/hr and of at least 4,000 Btu/hr per gallon of stored water,